

Emergency Response & Crisis Management

**A Grant Competition to Improve and Strengthen School Emergency
Response and Crisis Management Plans
(CFDA # 84.184E)**

Information and Application Procedures for Fiscal Year 2006

Application Deadline: June 22, 2006

Frequently Asked Questions
Page 31



OMB No. 1890-0009 Expiration Date: June 30, 2008

**U.S. Department of Education
Office of Safe and Drug-Free Schools**



UNITED STATES DEPARTMENT OF EDUCATION

Office of Safe and Drug-Free Schools

Assistant Deputy Secretary

May 2006

Dear Colleague:

Thank you for your interest in applying for the Emergency Response and Crisis Management grant (CFDA 84.184E) administered by the U.S. Department of Education's Office of Safe and Drug-Free Schools.

This grant competition will provide funds to local educational agencies (LEAs) to improve and strengthen emergency response and crisis management plans, including training school personnel and students in emergency response procedures and coordinating with local law enforcement, public safety, public health and mental health agencies.

Taking action now can help save lives, prevent injury, and minimize property damage in the moments of a crisis. Continuously reviewing and revising school and district crisis plans is critical to ensuring a high level of preparedness. To help schools improve their crisis response plans, the Department has developed recommendations for implementing school emergency response, evacuation and parental notification plans for schools. The Department's publication, Practical Information on Crisis Planning: A Guide for Schools and Communities provides information on key concepts and components of strong emergency management plans. Every applicant to the Emergency Response and Crisis Management grant should review this guide and address the four steps it identifies for emergency management—Mitigation/Prevention, Preparedness, Response and Recovery. The guide can be found at www.ed.gov/emergencyplan.

We look forward to receiving your application.

Sincerely,

A handwritten signature in blue ink, reading "Deborah A. Price".

Deborah A. Price

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I. Tips for Applicants

A. Before You Begin

- Read this application package in its entirety and make sure you follow all of the instructions.
- Read the Frequently Asked Questions section in this application package.
- If you are uncertain about any aspects of this application package, contact the competition manager for clarification. (Contact information appears on the last page of this application.)
- For more resources related to this grant competition, visit the Emergency Response and Crisis Management Technical Assistance Center Web site at: www.ercm.org.

B. Preparing Your Application

- Be thorough in your program description. Write so that someone who knows nothing about your school district or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria listed on page 25. Pay careful attention to the information listed in the Notes for each criterion.
- Be sure your application includes a budget request (ED Form 524) for a single 18-month period (use one column only), and that you have completed the budget narrative justification. The budget narrative should provide sufficient detail about planned expenditures so Department of Education staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals of the program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.
- Be sure your application includes signed agreements from each of the following: head of your local government, law enforcement, public safety, public health, and mental health agencies. We advise using the sample Partner Agreements provided on page 60 to help you make sure that appropriate signatures have been obtained.

C. Submitting Your Application

- Use the checklist provided in this application package on page 63 to make sure your application is complete before submitting it.
- Make sure you have met the absolute priority and included the signed agreements from law enforcement, public safety, public health, mental health and head of your local government (again, we recommend you use the agreements provided on page 60).
- Make sure all required forms are signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt. If you use e-Application, follow the instructions in the e-Application Web site. Because unanticipated problems can occur, we encourage you not to wait until

the last minute to submit your application. E-Application will not accept applications after the deadline.

D. Next Steps

- If you submitted your application by mail, you should receive a postcard in approximately two weeks (depending on the volume of applications) from the Department of Education's Application Control Center acknowledging receipt of your application and giving you its assigned PR/Award number. If you submit your application electronically, the PR/Award number will be generated automatically when you submit your application. Please refer to this PR/Award number if you need to contact the Department about your application.
- Your application will be screened by Office of Safe and Drug-Free Schools (OSDFS) staff to ensure that all program eligibility requirements are met, signatures from partners are included and all forms are included.
- Your application will be assigned to a three-person panel of peer reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 110 depending upon how well you respond to the requirements of the selection criteria and whether or not your application qualifies for a competitive preference.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive, via email, copies of the comments prepared by the peer reviewers. Please be sure your application contains a valid e-mail address for both the Project Director and Authorized Representative.

II. Background

Families trust schools to keep their children safe during the day. Thanks to the efforts of millions of teachers, principals, and staff across America, the majority of schools remain a safe haven for our nation's youth. The unfortunate reality is, however, that at some point many school districts in this country will be touched either directly or indirectly by a crisis of some kind.

The creation and maintenance of a safe school environment is an issue of national concern. Recent events that have occurred in or around schools have made it clear that schools must be prepared to respond to multiple hazards. Natural disasters such as hurricanes, earthquakes, fires, and tornados, can strike a community with little or no warning. School shootings, threatened or actual, are extremely rare, but are traumatizing when they occur. The terrorist attacks of September 11, 2001, and more recently Hurricanes Katrina and Rita, reinforce the need for schools and communities to plan for traditional crises and emergencies, as well as possible terrorist attacks or other catastrophic events such as chemical/biological threats or public health emergencies. While studies show that schools are the safest places for children to be during the morning and afternoon hours, schools and communities must take steps to enhance their level of readiness for potential hazards.

In developing crisis plans, it is important to consider the particular vulnerabilities a district may face. Conducting needs assessments to determine the kinds of hazards schools may face is an important first step in developing crisis plans. For example, are schools located near an airport or a military base? Are schools' physical plants able to withstand natural disasters your region may encounter? In addressing those potential vulnerabilities, emergency response plans should be coordinated with State and local emergency procedures.

We have found that strong plans involve key community groups, such as fire, police, other first responders, and public health and mental health providers in the development and in the implementation of the plan. First-responders and mental health professionals should be familiar with schools and students before a crisis occurs. Developing protocols to prepare for multiple hazards should be completed in coordination with officials from local law enforcement, public safety, public health, mental health, and local government. The involvement of schools in local emergency planning is critical to ensure that the needs of students and staff are met throughout the planning process.

To ensure that protocols are consistent with the expectations of local emergency responders, schools should familiarize themselves with the four recognized phases of emergency management and build these into their plans:

Prevention/Mitigation addresses what schools and districts can do to eliminate risk to life and property;

Preparedness focuses on the process of planning for potential hazards and includes training staff and students and developing crisis response procedures;

Response includes action steps taken to effectively address an emergency or crisis; and

Recovery deals with restoring the learning environment, both physically and emotionally, after a crisis.

Plans that are developed to include these four phases should be reviewed and updated on a continuous basis. Moreover, each phase should be seen as being interrelated and as an extension of the others. For example, when creating school crisis teams during the Preparedness phase, school officials should consider the role that the team will play during the Response phase.

In the event of an emergency, schools must also be prepared to communicate information to parents quickly and efficiently. Developing protocols and expectations for parents and guardians in advance may eliminate some of the chaos that can occur during and after an emergency. Schools should pay careful attention to parent/child reunification plans. In addition, crisis plans must consider the specific needs of all populations – particularly children with disabilities or special needs and parents and students whose first language is other than English.

An Emergency Response and Crisis Management grant will enable school districts to improve and strengthen their crisis plans to include:

1. All four phases of crisis management: Prevention/Mitigation; Preparedness; Response; and Recovery;
2. Agreements to coordinate among education, local government, law enforcement, public safety, public health, and mental health in the strengthening and improving of the plan;
3. Coordination with their State or local Homeland Security Plan;
4. Support of the National Incident Management System;
5. A comprehensive plan that considers multiple hazards;
6. Support from top leadership;
7. Pre-established roles for faculty, parents, students and first responders;
8. Drills and exercises for staff and students;
9. Review and revision of emergency management plans to reflect what works, what doesn't, and address emerging crises;
10. A district plan and a plan for each school building;
11. A plan that doesn't leave any child (or adult) behind -- addressing needs of all populations, including students with disabilities and special needs;
12. A plan that addresses infectious diseases, including pandemic flu; and
13. Emergency equipment and technology (but not as a majority of the requested funding).

Schools play an essential role in ensuring the safety of their students in the event of any kind of crisis. In recent years, the U.S. Department of Education has been involved in several activities aimed at helping schools understand that important role. These activities include:

- ❑ Establishing the Emergency Response and Crisis Management (ERCM) Technical Assistance (TA) Center. The ERCM TA Center provides crisis planning resources and technical assistance at no charge to school districts. The Center can be accessed online at www.ercm.org or by calling 1-888-991-ERCM.
- ❑ Conducting grantee and non-grantee training for LEAs. Since 2004, the Office of Safe and Drug-Free Schools has held eight training sessions for grantees and non-grantees.
- ❑ Development of “Practical Information on Crisis Planning: A Guide for Schools and Communities.” This guide includes information on crisis planning and identifies some of the key principles in developing crisis management plans. Copies of the guide may be requested by calling ED Pubs at 877-4-ED-PUBS. The guide can also be downloaded at: www.ed.gov/emergencyplan
- ❑ Development of “Threat Assessment in Schools: A Guide to Managing Threatening Situations and to Creating Safe School Climates.” The Department of Education worked with the U.S. Secret Service to develop a guide for educators with practical advice on differentiating between persons making idle threats and those posing actual threats. The guide is based upon extensive research on school-based attacks. Copies of the guide may be requested by calling ED Pubs at 877-4-ED-PUBS. The guide can also be downloaded at: www.ed.gov/emergencyplan
- ❑ Meeting with the chief law enforcement officials from the nation's largest school districts. The chiefs help provide the Department with a better understanding of the problems they face regarding school crime and terrorist threats and on possible solutions. This effort will be continued and expanded.
- ❑ Meeting and communicating regularly with School Safety Center directors from across the country. Following September 11, 2001, approximately 20 States developed school safety resource centers to provide support, training, and information to schools in their State on issues of school preparedness and safety. The Center directors routinely provide the Department with valuable information regarding emerging issues related to school safety in their respective States.
- ❑ Most recently, this grant competition, which helps school districts improve and strengthen emergency response and crisis management plans. Funds can be used to train school personnel and students in crisis response; communicate emergency policies and procedures with parents; coordinate with local emergency responders including fire and police; develop written infectious

disease plans; purchase equipment; and coordinate with groups and organizations responsible for recovery issues, such as health and mental health agencies. Since FY 2003, 336 school districts have received funding under this program.

We are pleased with the advances school districts have made in recent years in the area of crisis planning. Crisis planning may seem overwhelming. It takes time and effort, but is a manageable and worthwhile effort that can result in savings to life and property and the restoration of the learning environment after a crisis.

III. General Information

Purpose

The Emergency Response and Crisis Management grant competition is for local educational agencies (LEAs) to improve and strengthen school emergency response and crisis management plans, including training school personnel and students in emergency response procedures; communicating emergency plans and procedures with parents; and coordinating with local government and with law enforcement, public safety, public health and mental health agencies.

Application Due Date

All applications must be postmarked on or before June 22, 2006 to be eligible for review. Applications delivered by hand must be received by the U.S. Department of Education Application Control Center no later than 4:30 pm Eastern Time (ET) on June 22, 2006. Applications may also be submitted electronically through the Department's e-Application system. Applications may not be emailed or faxed.

Under very extraordinary circumstances the Department may change the closing date for a competition. When this occurs, the Secretary announces such a change in a notice published in the Federal Register. **Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under e-Application.**

Complete application transmittal instructions can be found on page 45.

Eligible applicants

Local educational agencies (LEAs).

Definitions

For the purpose of this competition, the terms used in this application have the following definition:

Local Educational Agency (LEA):

A public board of education or other public authority legally constituted within a State for either administrative control of direction of, or to perform a service function for, public elementary or secondary schools in a city, county, township, school district, or other political subdivision of a State, or for such combination of school districts or counties as are recognized in a State as an administrative agency for it public elementary or secondary school.

The term includes any other public institution or agency having administrative control and direction of a public elementary or secondary school.

The term includes an elementary or secondary school funded by the Bureau of Indian Affairs but only to the extent that such inclusion makes such school eligible for programs for which specific eligibility is not provided to such school in another provision of law and such school does not have a student population that is smaller than the student population of the local educational agency receiving assistance under this chapter with the smallest student population, except that such school shall not be subject to the jurisdiction of any State educational agency other than the Bureau of Indian Affairs [20 U.S.C. 8011 (18)].

The term includes educational service agencies and consortia of those agencies.

The term includes the State educational agency in a State in which the State is the sole educational agency for all public schools.

Educational Service Agency (ESA):

An ESA is defined as an LEA that provides educational support programs, such as staff and curriculum development, purchasing, and other programs and services for a group of LEAs. ESAs are also referred to as Area Education Agencies (AEAs), Boards of Cooperative Educational Services (BOCES), Cooperative Education Service Agencies (CESAs), County Offices of Education (COEs), Education Service Centers/Cooperatives (ESCs), Education Service Districts (ESDs), Education Services Units (ESUs), Intermediate Units (IUs), Intermediate School Districts (ISDs), Regional Education Service Agencies (RESAs), Regional Education Service Centers (RESCs), and Regional Offices of Education (ROEs).

Project Period

The project period for this grant is for up to 18 months. No continuation awards will be provided. Budgets should be developed for up to a single 18-month budget period. Applicants should list their entire budget request on one column on Form 524. We suggest developing a timeline that starts on October 1, 2006 and ends on March 31, 2008.

Estimated Range of Awards

Under this grant competition, an estimated 71 awards will be made, ranging from \$100,000 – \$500,000. We estimate that: a small-size school district (with 1-20 school facilities) will need up to \$100,000 for the 18-month period; a medium-size school district (with between 21 and 75 school facilities) will need a maximum of \$250,000 for the 18-month period; and a large-size school district (with 76 or more school facilities) will need a maximum of \$500,000 for the 18-month period. Applicants requesting funds

in excess of the recommended amounts will need to carefully justify their need for those funds. The U.S. Department of Education is not bound by any estimates in this application package.

Unique Applications

Information submitted in response to the selection criteria should be specific to the LEA submitting an application and should not be identical or substantially similar to other applications. Identical or substantially similar applications will not be responsive to the scoring criteria.

Travel Budget

Applicants must budget for the Project Director to attend a Project Director Orientation Meeting in Washington, D.C. This meeting will be held shortly after the grant is awarded. There is no registration fee for this meeting. In addition, applicants should budget for the Project Director and **at least** one other staff member to attend a minimum of two additional required training meetings to be scheduled during the project period. For planning purposes, applicants should include funds for transportation, lodging, per diem costs, and training meeting registration fees (approximately \$250 per person, per meeting) for the following meetings:

Required Project Director Orientation Meeting:

- ❑ One participant for up to two nights and three days in Washington, DC.
- ❑ Funds for transportation, lodging, and per diem costs for one participant.

Required Training Meeting #1:

- ❑ Two participants for up to three nights and four days in a major U.S. city.
- ❑ Funds for transportation, lodging, and per diem costs for two participants.
- ❑ \$250 Registration fee for each participant (\$250 x 2 participants = \$500 registration costs).

Required Training Meeting #2:

- ❑ Two participants for up to three nights and four days in a major U.S. city.
- ❑ Funds for transportation, lodging, and per diem costs for two participants.
- ❑ \$250 Registration fee for each participant (\$250 x 2 participants = \$500 registration costs).

E-mail Addresses

As part of our review of your application, we may need to contact you with questions for clarification. We also will make peer reviewers' comments available to you online.

Please be sure your application contains valid e-mail addresses for the Project Director and Authorized Representative.

Indirect Costs

An LEA funded under this competition must use its negotiated indirect cost rate if it elects to claim indirect costs. Documentation of the negotiated indirect cost rate should be provided as part of the application materials.

Contracting for Services

Generally, all procurement transactions must be conducted in a manner providing full and open competition, consistent with the procurement standards in Section 80.36 of the Education Department General Administrative Regulations (EDGAR). This section requires that grantees use their own procurement procedures (which reflect State and local laws and regulations) to select contractors, provided those procedures meet certain standards described in EDGAR. EDGAR is available online and can be accessed at: <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>.

Because grantees must use appropriate procurement procedures to select contractors, **applicants should not include information in their grant applications about specific contractors** that will be used to provide services for the proposed project. Applicants may include information about the scope of work to be completed by outside contractors and contractor qualifications, however they should not pre-identify a specific contractor or enter into an agreement with a contractor until the grant is awarded and full and open competition for the contract has occurred.

Consistent with the limitations of Section 75.515 of EDGAR concerning the use of consultants, contractors or consultants may be used to help prepare grant applications, but their participation in the application development process should not be presumed to result in the receipt of a contract for work under the project if the grant is awarded.

Evaluation and Reports

Each grantee is required to complete a comprehensive evaluation of their project. All grantees are required to submit an interim report to the Secretary six months into the grant period that provides the most current performance and financial expenditure information as specified by the Secretary in 34 CFR 75.118. Each grantee is also required to submit a final performance report, including financial information and copies of any products developed under the grant, within ninety days of the end of the project period.

Expectations of Grantees

By submitting an application for this program, applicants agree to fully cooperate with any evaluation efforts conducted by the Department of Education and its contractors. At a minimum, grantees are expected to:

- ❑ Maintain records on the implementation of their project;
- ❑ Maintain records on the extent to which their program objectives are being met;
- ❑ Include specific performance measures in their evaluation plan;
- ❑ Document progress towards addressing the Government Performance and Results (GPRA) Act measures identified for this program (more information available on page 29); and
- ❑ Make ongoing project information, findings, and products available upon request to ensure the dissemination of knowledge gained from this grant program.

Family Educational Rights and Privacy Act

Applicants must ensure that they adhere to all requirements under the Family Educational Rights and Privacy Act (FERPA), specifically as it relates to information sharing regarding development of an infectious disease plan and in working with community partners. Additional information about FERPA can be found at:

<http://www.ed.gov/policy/gen/guid/fpcr/index.html>.

D-U-N-S Number Instructions

All grantees must have a D-U-N-S number in order to receive a grant award. Applicants should include their D-U-N-S number on the 424 Form on line number 2. If you do not currently have a D-U-N-S number, you can obtain one at no charge by calling **1-800-333-0505** or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:

http://www.dnb.com/US/duns_update/index.html

The D-U-N-S number is a unique nine-digit number that does not convey any information about the recipient.

Required Forms

Electronic versions of all required forms can be downloaded via the following Web site:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>

- ❑ ED-424 (Application for Federal Assistance and Instructions)
- ❑ ED-524 (Budget Information—Non-Construction Programs and Instructions)
- ❑ SF-424B (Assurances—Non-Construction Programs)
- ❑ ED 80-0013 (Certifications Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements)

- ❑ ED 80-0014 (Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion: Lower Tier Covered Transactions)
- ❑ SF-LLL (Disclosure of Lobbying Activities and Instructions)
- ❑ Program Specific Assurances
- ❑ Competitive Preference Priority Qualification (if applicable)
- ❑ Partner Agreements

Authority

The authority for this program is found in 20 U.S.C. 7131.

Note to Applicants

This is a complete application package for the Emergency Response and Crisis Management (ERCM) grant competition. Together with the statute authorizing the program, the Notice of Final Priority and other Application Requirements, and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for a grant.

The official document governing this competition is the Notice Inviting Applications, published in the Federal Register on May 8, 2006. This information is also available electronically at the following web sites: <http://www.ed.gov/legislation/FedRegister/> and <http://www.ed.gov/programs/dvpemergencyresponse/index.html>.

Applicants should clearly indicate in Block #4 of the Standard Form 424, the CFDA number and alpha suffix of the competition (**84.184E**) for which funds are being requested.

Applicable Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this package:

1. 34 CFR Part 75 (Direct Grant Programs)
2. 34 CFR Part 77 (Definitions that Apply to Department Regulations)
3. 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and Activities)
4. 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
5. 34 CFR Part 81 (General Education Provisions Act—Enforcement)
6. 34 CFR Part 82 (New Restrictions on Lobbying)
7. 34 CFR Part 84 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance))
8. 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement))

9. 34 CFR Part 97 (Protection of Human Subjects)
10. 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
11. 34 CFR Part 99 (Family Educational Rights and Privacy)
12. 34 CFR Part 299 (General Provisions)

Contingent upon the availability of funds, we may make additional awards in Fiscal Year (FY) 2007 from the rank-ordered list of unfunded applications from this competition.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid Office of Management and Budget (OMB) control number. The valid OMB control number for the information collection is OMB No. 1890-0009. The time required to complete the information collection is estimated to average 28 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to the: Office of Safe and Drug-Free Schools, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E340, Washington, DC 20202-6450.

Resources

Any questions related to the requirements of this grant competition should be directed to Tara Hill of the Office of Safe and Drug-Free Schools at (202) 708-4850.

The U.S. Department of Education will also host a series of Grant Question and Answer teleconferences to answer questions regarding the ERCM grant competition. For dial-in information and a complete list of teleconferences dates and times, please visit:

http://www.ercm.org/index.cfm?event=grantQnA_Calls

For more information and resources on emergency planning, you may contact the Department's Emergency Response and Crisis Management Technical Assistance Center at (888) 991-ERCM or visit the Web site at: www.ercm.org.

IV. Application Information: Priorities and Application Requirements

Absolute Priority

We give an absolute preference to applications that meet the following priority, and fund under this competition only those applications that meet the following absolute priority: LEA projects to improve and strengthen emergency response and crisis management plans, at the district and school-building level, addressing the four phases of crisis planning: Prevention/Mitigation, Preparedness, Response, and Recovery. Plans must include: (1) training for school personnel and students in emergency response procedures; (2) coordination with local law enforcement, public safety, public health, mental health agencies, and local government; and (3) a method for communicating school emergency response policies and reunification procedures to parents and guardians.

Competitive Preference Priorities

Priority 1

Competitive Preference Priority for LEAs That Have Not Previously Received a Grant Under The ERCM Program and Are Located In an Urban Areas Security Initiative Jurisdiction

Under this priority, we give a 10-point competitive preference to applications from LEAs that (1) have not yet received a grant under this program and (2) are located in whole or in part within Urban Areas Security Initiative (UASI) jurisdictions, as determined by the U.S. Department of Homeland Security (DHS). An applicant must meet both of these criteria in order to receive the competitive preference. Under a consortium application, all members of the LEA consortium need to meet both criteria to be eligible for the preference. Applications submitted by educational service agencies (ESAs) are eligible under this priority if each LEA to be served by the grant is located within a UASI jurisdiction and has not received funding under this program directly, or as the lead agency or as a partner in a consortium; however the ESA itself may have received a previous grant.

Because DHS' determination of UASI jurisdictions may change from year to year, applicants under this priority must refer to the most recent list of UASI jurisdictions published by DHS when submitting their applications. The Governor of each State has designated a State Administrative Agency (SAA) as the entity responsible for applying for, and administering, funds under the Department of Homeland Security Grant Program (which includes the UASI program). The SAA is also responsible for defining the geographic borders for jurisdictions included in the UASI program. Guidance on jurisdiction definitions can be found at: <http://www.ojp.usdoj.gov/odp/docs/info200.pdf>

Priority 2

Competitive Preference Priority for LEAs That Have Not Previously Received a Grant Under The ERCM Program

Under this priority, we give a 5-point competitive preference to applications from LEAs that have not previously received a grant under this program. Applicants (other than ESAs) that have received funding under this program directly, or as the lead agency or as a partner in a consortium application under this program, will not receive competitive preference under this priority. For applications submitted by ESAs, each LEA to be served by the grant must not have received funding under this program directly, or as the lead agency or as a partner in a consortium application, in order for the ESA to be eligible for the competitive preference under this priority; however, the ESA itself may have received a previous grant.

Requesting Competitive Preference

Applicants that qualify for a competitive preference priority must submit an assurance specifying that the LEA qualifies for Competitive Preference Priority 1 or Competitive Preference Priority 2.

Applicants requesting to be considered for Priority 1, should include a specific request to be considered for that priority. Applicants should indicate the UASI jurisdiction in which the LEA is located on the request. If the LEA is applying as a consortium, all LEAs in the consortium and their location to the UASI jurisdiction should be listed on the request for competitive preference. The request must be signed by the Authorized Official for the grant.

Applicants requesting to be considered for Priority 2 should include a specific request to be considered for that priority. If the LEA is applying as a consortium, all LEAs to be served by the grant should be listed on the request for competitive preference. The request must be signed by the Authorized Official for the grant.

Applicants may choose to complete the sample Competitive Preference Priority Qualification Assurance for that priority. The Assurances may be found on pages 58 and 59.

Note: Applicants that qualify for both Priority Preference 1 and Priority Preference 2 will only receive points under Priority Preference 1. For example, a district that is located within a UASI jurisdiction and has never received a grant under the ERCM grant program, will receive a maximum of 10 competitive preference points under Priority 1. The district will not receive points under Priority 2.

Requirements

In order to receive funding, projects must meet the above absolute priority, in addition to the following application requirements.

- To be considered for a grant award, applications **must** include an agreement that details the participation of the LEA and the following five **community-based** partners: law enforcement, public safety, public health, mental health, and the head of your local government (for example your mayor, city manager, or county executive.) The agreement must include a description of each partner's roles and responsibilities in improving and strengthening emergency response plans at the district and school-building level. The agreement must also reflect each partner's commitment to sustainability and continuous improvement of the plan. **Finally, your agreement must include an authorized signature representing the LEA (the Authorized Representative for your grant) and each community-based partner.**

If one or more of these five partners is not present in your community, or cannot feasibly participate, the agreement must explain the absence of each missing partner. Every application must include signatures representing at least the LEA and two of the required five partners, and explanations for the absence of any of the remaining required partners.

Applications that fail to include the required partner agreements, including information on partners' roles and responsibilities and on their commitment to sustainability and continuous improvement (with signatures and explanations for missing signatures as specified) will **not be read**.

Although this program requires partnerships with other parties, administrative direction and fiscal control for the project must remain with the LEA.

- Applications must be coordinated with their State Homeland Security Plan. All emergency response and crisis management plans must be coordinated with the Homeland Security Plan of the State or locality in which the LEA is located. All States submitted such a plan to the Department of Homeland Security on January 30, 2004. To ensure that emergency services are coordinated, and to avoid duplication of effort within States and localities, applicants must include in their applications an assurance that the LEA will coordinate with, and follow the requirements of their State or local Homeland Security Plan for emergency services and initiatives. A list of State Homeland Security contacts is included on page 52.
- Applicants must agree to support the implementation of the National Incident Management System (NIMS). The NIMS provides a consistent approach for Federal, State, and local governments to work effectively and efficiently to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity.

Applicants must agree to implement their grant in a manner consistent with the implementation of the NIMS in their communities. Applicants must include in their application an assurance that they have met, or will complete, all current FY 2006 NIMS requirements by the end of the grant period. Additional information about the FY 2006 NIMS requirements for local governments can be found at:

http://www.fema.gov/pdf/emergency/nims/nims_tribal_local_compliance_activities.pdf

(Note: Since LEAs are integral to local governments, an LEA's NIMS compliance must be achieved in close coordination with the local government and with recognition of the first responder capabilities held by the LEA and the local government. As LEAs are not traditional response organizations, first responder services will typically be provided to LEAs by local fire and rescue departments, emergency medical service providers, and law enforcement agencies. This traditional relationship must be acknowledged in achieving NIMS compliance in an integrated NIMS compliance plan for the local government and the LEA. LEA participation in the NIMS preparedness program of the local government is essential to ensure that first responder services are delivered to schools in a timely and effective manner. (Additional information about NIMS implementation is available at <http://www.fema.gov/emergency/nims/index.shtm>.)

- The plan must also take into consideration the communication, transportation, and medical needs of individuals with disabilities within their school district.
- Applicants must agree to develop a written plan designed to prepare the LEA for a possible infectious disease outbreak, such as influenza pandemic. Plans must address the four phases of crisis planning (Mitigation/Prevention, Preparedness, Response, and Recovery) and include a plan for disease surveillance (systematic collection and analysis of data that lead to action being taken to prevent and control a disease), school closure decision-making, business continuity (processes and procedures established to ensure that essential functions can continue during and after a disaster), and continuation of educational services.

Additional information about pandemic flu preparedness for schools can be found at: <http://www.pandemicflu.gov/plan/tab5.html>.

Additional Requirements

Participation by Private School Children and Teachers

LEAs are required to provide for the equitable participation of private school children, their teachers, and other educational personnel in private schools located in areas served by the grant recipient. In order to ensure that grant program activities address the needs of private school children, the LEA must engage in timely and meaningful consultation with private school officials during the design and development of the program. This consultation must take place before any decision is made that affects the opportunities of eligible private school children, teachers, and other educational

personnel to participate.

In order to ensure equitable participation of private school children, teachers, and other educational personnel, an LEA must consult with private school officials on issues such as: hazards/vulnerabilities unique to private schools in the LEA's service area and existing emergency management plans and crisis response resources already available at private schools.

Maintenance of Effort

LEAs may receive a grant only if the state educational agency finds that the combined fiscal effort per student or the aggregate expenditures of the LEA and the State with respect to the provision of free public education by the LEA for the preceding fiscal year were not less than 90 percent of the combined effort or aggregate expenditures for the second preceding fiscal year.

Evaluation Requirement

Successful applicants are required to evaluate the effectiveness and outcomes of the activities funded under their grant and to submit an interim and final report documenting the effectiveness of the programs and activities funded under their grant. For additional information regarding project evaluation, please see page 28.

Technical Assistance

Grantees will receive technical assistance throughout the life of the grant. This assistance will take multiple forms, including meetings and workshops, telephone consultations, and other forms of networking to share ideas and identify resources. In addition, each grantee will be assigned a Federal Project Officer who will also serve as a resource. Grantees are encouraged to become familiar with using email, as most correspondence regarding their project will be delivered electronically.

V. Selection Criteria

The following selection criteria will be used to evaluate applications for grants under this competition. The maximum score for all these criteria is 100 points. The maximum score for each criterion is indicated in parentheses.

1) Need for project. (20 points)

In determining the need for the proposed project, the following factors are considered:

- a. The magnitude of the need for the services to be provided or the activities to be carried out by the proposed project. (10 points)

*Note: Under this criterion, we will look for a **clear and convincing demonstration of significant need** – such as a recent vulnerability and needs assessment—to improve and strengthen the LEA’s emergency response and crisis management plan.*

- b. The extent to which specific gaps or weaknesses in services, infrastructure or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (10 points)

*Note: Under this criterion, we will look for a description of **gaps and weaknesses in current plans and overall preparedness** as well as how the proposed plan will address those gaps.*

2) Quality of the project design. (40 points)

In determining the quality of the design of the proposed project, the following factors are considered:

- a. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (15 points)

*Note: Under this criterion, we will look for the applicant’s use of the **four phases of crisis response planning** (Prevention/Mitigation, Preparedness, Response, and Recovery) to strengthen and improve emergency management plans at the district and school building level. Applicants should also include details about their plan to develop a **written infectious disease plan** that includes pandemic flu.*

We expect that applicants will propose comprehensive approaches that do not rely heavily on equipment and technology purchases.

- b. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified needs. (10 points)

*Note: Under this criterion, we will look for the applicant's intent to develop a plan that takes into consideration the **specific needs of each school**. Applicants should describe how each school will develop an emergency management plan that is customized based upon its particular vulnerabilities and student population. Applicants should also discuss how they will **address the needs of individuals with disabilities and special needs in their emergency management plans**.*

- c. The extent to which the proposed project encourages parental involvement. (5 points)

*Note: Under this criterion, we will look for the applicant's **plan to communicate and disseminate emergency response policies and procedures to parents**.*

- d. The extent to which the proposed activities constitute a coherent, sustained program of training in the field. (10 points)

*Note: Under this criterion, we look for the applicant's plan to provide relevant **training and/or exercises to school staff, safety/crisis teams, and students**.*

3) Quality of the management plan. (20 points)

In determining the quality of the management plan, the following factors are considered:

- a. The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones for accomplishing project tasks. (10 points)

*Note: Under this criterion, we will look for the applicant's plan to **manage the development and implementation of emergency management plans** at all schools covered by the project. Applicants should include a detailed project implementation timeline.*

- b. How the applicant will ensure that a diversity of perspectives are brought to bear in the operation of the proposed project, including those of parents, teachers, the business community, a variety of disciplinary and professional fields, recipient or beneficiaries of services, or others as appropriate. (10 points)

*Note: Under this criterion, we will look at the quality of the applicant's **planned coordination and collaboration with community partners** including, the head of the local government, community-based law enforcement, public safety, public health, and mental health agencies in the strengthening and improvement of the plan. This description should go beyond simply stating the roles and responsibilities discussed in the absolute priority. We will also look for the applicant's description of how their project is coordinated with their State or local Homeland Security Plan and how they plan to support **implementation of the National Incident Management System**.*

4) Adequacy of Resources (5 points)

In determining the adequacy of resources, the following factor is considered:

- a. The potential for continued support of the project after Federal funding ends, including, as appropriate, the demonstrated commitment of appropriate entities to provide such support.

*Note: Under this criterion, we will look for the applicant's plan for **continuous improvement and sustainability of partnerships** after the period of Federal funding ends. Applicants should also provide a plan for **continuous assessment and improvement of emergency management plans** after the period of Federal funding ends.*

5) Quality of the project evaluation. (15 points)

In determining the quality of the evaluation, the following factors are considered:

- a. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (10 points)

*Note: Under this criterion, we will look for a description of the evaluation plan that includes methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the **Government Performance and Results Act (GPRA) measures** established for this program. We will look for clearly identified project activities, objectives, and goals.*

- b. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

*Note: Under this criterion, we will look for the applicant's plan to **continuously monitor the project's implementation**, including a review of improvements made to emergency management plans. In particular, we will look for the applicant's strategy for modifying their emergency management plans and procedures to incorporate feedback received from site assessments, practice drills, or after-action reports. Please refer to page 28 for additional information regarding project evaluation.*

VI. Project Evaluation and the Government Performance and Results Act (GPRA)

Project Evaluation

Evaluation is a powerful tool that supports program planning and an understanding of effective emergency response procedures. Therefore, applicants must propose to implement an evaluation of their efforts, using process and outcome performance measures that document the effectiveness of the project's strategies to improve and enhance emergency response plans.

It is important to remember that what constitutes success may differ from one project to another. In preparing the project design and evaluation plan, applicants are encouraged to develop performance measures that are based upon the goals of their project. The evaluation plan should include both qualitative and quantitative measures, as well as process measures. Applicants should also include a description of all evaluation instruments they intend to use. Examples of evaluation instruments include evaluation forms for training sessions, after-action reports from tabletop practice exercises, and process checklists.

Examples of possible quantitative objectives include:

- (1) Increase in the number of hazards addressed by the emergency management plans in each school;
- (2) Increase in the number of school staff trained in emergency response procedures; and
- (3) Improved response time to drills.

Examples of possible qualitative objectives include:

- (1) Improved partnerships between community partners and the school district;
- (2) Increased parent awareness of school emergency response procedures; and
- (3) Increased ability to restore the learning environment after a crisis.

Examples of specific activities that may support project objectives include:

- (1) Purchasing "Go Kits";
- (2) Conducting training for staff on the emergency plan;
- (3) Conducting vulnerability assessments;
- (4) Implementing lock-down and shelter-in-place drills at each school; and
- (5) Establishing an incident command system.

Related performance measures would include:

- (1) Purchase of X# safety supplies or "Go Kits" for schools;
- (2) Number, type, and relevance of training sessions held;
- (3) Number of vulnerability assessments conducted;
- (4) Number and types of drills or exercises conducted; and
- (5) Regularity and outcomes of incident command meetings and planning sessions.

Process objectives may have some additional qualitative or quantitative information associated with them. For example, the number and types of training sessions may also have related information regarding perceptions of the training (qualitative data) and the effectiveness of the training when tested using a practice drill (quantitative data).

Grantees may also be expected to work with the Department's Emergency Response and Crisis Management Technical Assistance Center to collect key program information that will help assess the extent to which projects supported under this grant competition are meeting their goals and objectives. The Department may use the data or products from these projects to help identify and disseminate effective crisis planning strategies to other LEAs.

Government Performance and Results Act

The Government Performance and Results Act of 1993 (GPRA) requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through provision of more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

GOAL 1: Create a culture of achievement.

GOAL 2: Improve student achievement.

GOAL 3: Develop safe schools and strong character.

GOAL 4: Transform education into an evidence-based field.

GOAL 5: Enhance the quality and access to postsecondary and adult education.

GOAL 6: Establish management excellence.

The Secretary has established the following performance measures for evaluating the overall effectiveness of the Emergency Response and Crisis Management program:

GPRA 1: Demonstration of increased number of hazards addressed by the improved school emergency response plan as compared to the baseline plan;

GPRA 2: Demonstration of improved response time and quality of response to practice drills and simulated crises; and

GPRA 3: A plan for, and commitment to, the sustainability and continuous improvement of school emergency response plans by the district and community partners beyond the period of Federal financial assistance.

These three measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful consideration to these three outcomes in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to collect and report data in their interim and final performance reports about progress toward these measures. We strongly encourage grantees to use a qualified evaluator to design and implement an evaluation of the project that can provide reliable data on the performance measures for this program.

VII. Frequently Asked Questions

Who is eligible to apply?

Only local educational agencies (LEAs) are eligible to apply.

When will ERCM grant awards be announced?

The Office of Safe and Drug-Free Schools (OSDFS) will announce ERCM grant awards no later than September 30, 2006.

May private schools apply?

No, only LEAs may apply for funding. However, all LEAs are required to provide equitable access to services for private school students and their teachers with these grant funds. (See requirement on Participation by Private School Children and Teachers on page 23.)

May institutions of higher education apply?

No, only LEAs may apply for funding.

How much money is available for this program?

Approximately \$24 million is available for these grants in FY 2006.

How many new awards will be made?

Approximately 71 new grant awards are anticipated under this program in FY 2006.

What must we do to prove that we plan to coordinate with local government, law enforcement, public safety, public health and mental health agencies?

This grant competition is for LEA projects to review and strengthen emergency management plans, including training school personnel and students in emergency response procedures and coordinating with the local community-based law enforcement, public safety, public health, and mental health agencies, as well as the head of the local government. The absolute priority for this competition requires that applicants collaborate with these partners to review and strengthen their plans. Applicants that do not provide signatures of at least two of these partners, along with descriptions of each partner's roles and responsibilities in the strengthening and improving of plans, will not be read.

It is important to ensure that necessary partners are familiar with your schools, facilities, and your students before an event occurs. To fully meet this requirement, applicants must include partner agreements that detail not only partners' names, but also specific examples of the roles and responsibilities each partner will have in the crisis plan. Therefore, we require you to work with your partners, drawing on their knowledge and expertise as you review and revise your emergency response plans, and then provide them with a copy of the final plan. We understand that not all applicants may, for specific reasons, be able to include all of these partners. Your application is eligible if you only have two signatures from the list of partners; however, you must provide explanations when you submit fewer than all five signatures. We strongly encourage

participation and coordination of all these partners, for the safety of your students and the successful implementation of your plan. You may use the Partner Agreements form provided in this application package on page 60 to obtain the signatures and details of the roles and responsibilities.

May we coordinate with more than five partners?

Yes. We only require that you demonstrate (with signatures and descriptions of their responsibilities) coordination with at least two of the partners in our list, but if you would like to coordinate with others (i.e., public works or transportation departments), you are welcome to do so.

What do you mean by “law enforcement,” “public safety,” “public health,” “mental health,” and “head of local government”?

These labels may mean different things in different communities. The most relevant “law enforcement” partner for your plan may be your local sheriff’s office or the police chief. “Public safety” may be your local fire department or a community-based emergency medical services entity. “Public health” may be the community public health organization that serves your district. “Mental health” may be the local agency that provides mental health services to children. “Head of local government” may be the mayor, the county executive, the city manager, or the head of the town council. While different localities have different names for these entities and individuals, what is important is that you include the relevant high-level community-based representatives in the strengthening and improving of your plan, so that they are familiar with your schools and their students *before* a crisis occurs.

How do I demonstrate “coordination” with my State or local Homeland Security Plan?

Applicants should consult with their State or local emergency management agency during the development of their application to ensure that efforts are coordinated. Applicants do not need to obtain a formal approval from their State/local emergency management agency on their plan, nor do they need to see a copy of their State or local Homeland Security plan. However, they must indicate in their application how State and LEA emergency services and initiatives are coordinated. Applicants must also include a signed assurance with their application acknowledging such coordination.

Will a Memorandum of Understanding (MOU) with the Health Department suffice as a partner agreement? Will a police directive suffice?

The signed agreement must state the partners and detail each of their roles in carrying out the grant activities and improving project performance. The agreement must be written specifically for this project and should identify specific responsibilities in connection to your proposed project. A separate MOU from an established relationship will not likely meet the requirements.

My district has applied for this grant in the past. Can I re-use the partner agreements submitted with my previous application?

No, you must submit new partner agreements.

What is the National Incident Management System?

On February 28, 2003, the President issued Homeland Security Presidential Directive (HSPD)-5, which directs the Secretary of the Department of Homeland Security to develop and administer a National Incident Management Systems (NIMS). The NIMS provides a consistent approach for Federal, State, and local governments to work together to prepare for, prevent, respond to, and recover from domestic incidents, regardless of cause, size, or complexity. Additional information on the NIMS may be found at: <http://www.fema.gov/emergency/nims/index.shtm>

How do I demonstrate support for the implementation of NIMS?

Since school districts are an integral part of local government, their use of NIMS should be achieved in close coordination with other components of the local government. School districts are not traditional response organizations; they more typically are recipients of first responder services provided by fire and rescue, emergency medical and law enforcement agencies. This traditional relationship should be acknowledged in achieving NIMS compliance within an integrated local government plan for NIMS compliance. School district participation in local government's NIMS preparedness program is essential to ensure that first responder services are delivered to schools in a timely and effective manner. Applicants must also include a signed assurance with their application stating that the LEA has met, or will complete, all NIMS requirements by the end of the grant period.

What is the Urban Areas Security Initiative?

In FY 2003, the Department of Homeland Security established the Urban Areas Security Initiative (UASI) program to focus Federal preparedness resources on the unique planning, equipment, training, and exercise needs of high-threat, high-density urban areas. The intent of the UASI program is to create a sustainable national model program that will enhance security and overall preparedness in order to prevent, respond to, and recover from acts of terrorism. Jurisdictions included in the UASI program are determined by a formula using a combination of current threat estimates, critical assets within the specific urban area, and population density.

How do I know if my district is located within an UASI jurisdiction?

Information about UASI jurisdiction definitions can be found at:

<http://www.ojp.usdoj.gov/odp/docs/info200.pdf>

Only part of my LEA is located within the UASI jurisdiction. Can I still qualify for competitive preference priority 1?

Yes, provided your district has not previously received funding under this program.

Am I required to use an outside evaluator or may the Project Director also serve as the Evaluator?

Applicants are not required to use an outside evaluator. However, to ensure an unbiased and fair evaluation of your project, we recommend including funds in your budget to hire an outside evaluator.

Is there a recommended percentage of the grant to be dedicated to the evaluator?

The amount budgeted for an evaluator will vary based upon the scope of the grant activities and the size of the school district. Applicants should ensure that the evaluator could commit sufficient time to capture data related to the three GPRA measures and other relevant performance measures outlined in the application. Typically, evaluation expenses related to ERCM grant activities do not exceed \$25,000

May I hire an outside contractor or consultant to assist in implementation of my project?

Yes, applicants may hire outside contractors to assist in the implementation of project objectives. However, in order to ensure sustainability of effort, we recommend use of contractors to help build capacity within the LEA, rather than to complete a majority of the project activities. For example, a good use of contractors would be to help establish protocols and provide training in conducting vulnerability assessments. This is in contrast to hiring a contractor to complete all vulnerability assessments on behalf of the LEA.

If funded, grantees are required to follow basic procurement guidelines outlined in section 80.36 of Education Department General Administrative Regulations (EDGAR) <http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html>. The primary standard noted here is that "Grantees and sub grantees will use their own procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this section."

These standards, which you should review in EDGAR, set forth basic guidelines for grantees that plan to award contracts under their grants. In very brief summary, these standards include, but are not limited to, ensuring that grantees: have an effective contract administration system in place, do not have any conflicts of interest between the contractors and the contract administrators, have a system for ensuring that duplicative services are not being procured; foster economical and efficient contracts; maintain thorough records of the contracts/procurements; have a system for managing disputes; have written selection procedures for procurements and related transactions; and ensure maximum free and open competition is used when announcing competitions.

EDGAR goes on to describe standards for engaging in procurements for both small purchases and sealed bids, as well as for competitive and (rarely) non-competitive proposals. See 80.36 for more detail.

Because each State and local entities have their own guidelines, we cannot answer individual questions about your specific requirements. If you are unsure if your State or local district has guidelines for contracting, or of what those guidelines are, we recommend contacting your business or grants office, as it should have information for you on this question.

What procurement procedures do grantees need to follow?

Whenever purchasing equipment or signing contracts with consultants, grantees must follow their district's State and local procurement regulations and policies.

How long can a grantee contract for services paid for with grant funds?

Applicants are only permitted to contract for services paid with grant funds for the time period of the grant, or 18-months.

How much work may be contracted out to a consultant?

There is no standard for the amount of work a consultant can do on the grant. However, if a consultant is doing a large part of the work, it is helpful to build capacity developing activities into the management plan for the district. These activities should promote the district's ability to support these activities when the grant is over.

What is the average amount of each grant?

Awards will range from \$100,000 to \$500,000. We estimate that: a small-size school district (with 1-20 school facilities) will need up to \$100,000 for the 18-month period; a medium-size school district (with between 21 and 75 school facilities) will need a maximum of \$250,000 for the 18-month period; and a large-size school district (with 76 or more school facilities) will need a maximum of \$500,000 for the 18-month period. Applicants requesting funds in excess of the recommended amounts will need to carefully justify their need for those funds. Applicants can apply for less or more than the average range of these awards as stated above. These figures represent estimates and are not binding.

What is the project and budget period for these grants?

Projects are to be completed in 18 months. A single budget period (18-months) should be detailed on the 524 budget form in a single column.

If a proposed budget is too high, will the Department of Education work with the applicant to reduce the budget, or will the application be dismissed?

Suggested budget amounts are provided in the grant announcement. Applications will not be ruled ineligible if the requested budget amount is higher than U.S. Department of Education estimates. It is most important that the requested budget is reasonable and adequately explained within the budget narrative and justified by the identified project needs.

Once applications have been submitted, Department staff will review proposed budgets to ensure that the amount requested is justified and that all proposed expenditures are allowable. If a budget item is unreasonable or unallowable, the budget will be reduced accordingly. Peer reviewers do not evaluate application budgets.

How do I count the number of school facilities in my area?

When indicating whether you are a small, medium or large district (according to the categories given on page 14 under "Estimated Range of Awards"), please present a count of your facilities. When counting facilities, please count school sites, or campuses,

but not individual structures. For example, if one of your schools has 2 trailers and one permanent school building on its campus, please count that school as only one facility, not three.

What is a vulnerability assessment?

A vulnerability assessment is the process you use to determine the kinds of hazards schools in your area may encounter. It is important to take a look around your district and determine what might cause danger so that you can be as prepared as possible. Working with law enforcement, public safety, emergency medical services, the department of transportation, and other government agencies will be very helpful in assessing these vulnerabilities. They will help you determine what your vulnerabilities are. For example, are your students near a nuclear plant? Are your schools located near railroad tracks, or major highways where crashes may occur and endanger students, or put them in harm's way? Is your area prone to earthquakes or hurricanes? It is important to prepare for the kinds of emergencies or crises you may encounter. It is important to prepare for social and emotional environments that may lead to crises, as well.

What does mitigation mean?

In this application and in the Department's Guide on emergency planning, "mitigation" refers to taking action to reduce the impact of a crisis. For example, while school administrators and teachers cannot avoid an earthquake, they may be able to *mitigate* the impact of one on their school and students by securing bookcases so that they don't fall down, and training students and staff how to protect themselves during tremors. Another example is taking inventory of your school location to determine if it might be vulnerable to a threat from any nearby nuclear power plants, railroad tracks, or other potential hazards.

May I use these funds to implement a prevention program (i.e., bullying prevention, suicide prevention, violence prevention, etc.)?

No; prevention programs are beyond the scope of this grant competition. While we realize the importance of a comprehensive approach to violence prevention, those activities are not directly related to development of an effective crisis response plan. Requests for funds to implement a prevention program will not be allowed.

May I apply as a consortium of districts (i.e., collaborative, BOCES, etc.)?

Yes; however, only one LEA may serve as the fiscal agent and administrative lead. The LEA is responsible for the administration of all grant activities, including the development of customized plans down to the building level. Plans that involve multiple districts need to include a management plan that is strong enough to support a multi-district project.

Consortium applicants that are requesting a competitive preference under either Priority 1 or Priority 2 will only qualify for the preference provided that all of the districts are located within a UASI jurisdiction (if applicable) and that none of the districts to be served by the grant have previously received funding under the ERCM grant.

My district has previously received this grant. Are we eligible to re-apply?

Yes, all districts are eligible for funding regardless of past funding history. However, previously funded districts do not qualify for additional points under the competitive preference priorities.

Is there a matching requirement?

No, there is not a matching requirement.

My district doesn't have an indirect cost rate. How do I get one?

LEAs should check with their State educational agency if they do not have a negotiated indirect cost rate. For more information about indirect cost rates, visit

www.ed.gov/about/offices/list/ocfo/fipao/icgindex.html

May this money be used for professional development workshops for teachers and other educators?

Yes, provided that the activities directly support the purposes of the grant.

May we use these funds to hire program coordinators?

Yes, provided the costs are reasonable and necessary to carry out the purpose of the grant. Applicants should be sure to fully substantiate all expenditures in the budget narrative.

May funds be used to hire safety personnel, a school nurse, mental health professionals, etc.?

No, this is not a hiring grant.

Many first responders will provide services to districts under this grant. Can first responders working with schools be reimbursed for this work?

Yes. To the extent that costs are necessary, reasonable and allowable to the grant.

May we use these funds to buy safety and security equipment?

Yes, applicants may propose to use a small portion of these funds to buy safety and security equipment and technology. However, applicants that propose in their application to use these funds primarily to buy safety and security equipment will NOT score highly on their application, and will decrease their chances of receiving funds. The selection criteria for this competition call for a comprehensive, systematic, coordinated improvement of emergency response plans, and applications that only request funds for technology and equipment will not meet those criteria.

May a copy of my application be shared with public?

The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to federal agency records or information. All applications submitted for funding consideration under this grant competition are subject to the FOIA. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. Under FOIA Exemption 1, we are

able to withhold any information needed to protect vulnerable security information from unauthorized or untimely disclosure. This may include information related to risks and vulnerabilities within the district or at particular schools. To read the text of the Freedom of Information Act, visit www.usdoj.gov/04foia/foiastat.htm

Are copies of successful ERCM grant applications available?

In order to obtain successful applications, applicants need to submit a Freedom of Information Act (FOIA) request. FOIA requests often involve small fees for staff time and duplication services. After a FOIA request is submitted to the Department of Education, a cost estimate is provided before the material is delivered. Requestors have the option of canceling the request based on the cost estimate.

FOIA requests must be submitted to the Department of Education in writing. More information is available at: <http://www.ed.gov/policy/gen/leg/foia/foiatoc.html>

Please be aware that FOIA requests may take several weeks to process. If an applicant has specific questions about previous grant projects, they may want to consider contacting project directors from previous grantees directly. Lists of previous and current grant project directors are available at: www.ed.gov/emergencyplan

Is guidance available for incorporating the needs of students and staff with disabilities into a school or district's crisis planning?

Yes. OSDFS, along with the Emergency Response and Crisis Management Technical Assistance Center, created a newsletter on this topic that can be viewed at: www.ercm.org

Is guidance available for incorporating pandemic flu plans into a school or district's emergency management plan?

Yes. The U.S. Department of Education, in partnership with the U.S. Department of Health and Human Services and the Centers for Disease Control, developed a pandemic flu checklist for schools. The checklist is available at: <http://www.ed.gov/policy/elsec/guid/secletter/schoolchecklist.pdf>

What is required from an applicant whose Single Point of Contact at the State level responds to the letter by stating that they do not review this type of grant?

Applicants should include a copy of this response in their application package and check the appropriate line on the 424 form.

Do applicants need to include the address for responses in the letter to the State Single Point of Contact?

Yes, you need to ensure that any recommendations are submitted by the application deadline. You should direct them to send comments to the following address: The Secretary, EO 12372-CFDA #84.184E, U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW, Washington, DC 20202.

What is required from an applicant whose State Single Point of Contact indicates that they are not reviewing applications for this grant competition?

Applicants should include a copy of such a response from the State Single Point of Contact in their application package submitted to the U.S. Department of Education and check the appropriate line on the 424 form.

By what date do applicants have to submit their application to their State Single Point of Contact, if participating?

Applicants must submit their application to the State Single Point of Contact on or before the deadline date for transmitting their application to the Department.

Additional FAQs may be viewed at:

http://www.ercm.org/index.cfm?event=fy06_ERCM_DGCF

VIII. Application Contents

A. Preparing the Application

A completed application for assistance under this competition consists of **two parts**:

- (1) all forms, assurances, and agreements that must be submitted in order to receive a grant and
- (2) a detailed narrative description of the proposed project and the budget to support it.

Applicants should carefully review the Selection Criteria for information on items that must be covered in the narrative description. A panel of nonfederal readers with experience in emergency response and crisis planning will review each eligible application submitted by the deadline date.

The panel will award points ranging from zero (0) to one hundred and ten (110) to each application depending on how well the selection criteria are addressed and whether or not the application qualifies for a competitive preference priority. In describing the proposed project, applicants should take care to provide a comprehensive response to each factor under the selection criteria. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

B. Organizing the Application

An application under this program should address the specific needs of the applicant and proposed activities specifically designed to meet those needs. The Department **strongly** discourages applicants from using “form” or “template” applications or proposals that address general rather than specific local needs.

All pages should be numbered consecutively to make review and evaluation easier. Applications should be double spaced and printed on one side of the paper. We recommend that applicants organize the information in their application in the following order:

1. Application for Federal Assistance (ED Form 424). This is the application title page. Make sure that block 4 identifies the number of this competition: CFDA# 84.184E.

2. Table of Contents. Provide an itemized listing of each section of the application package, including page numbers.

3. Program Abstract. Provide a one-page, double-spaced abstract that describes the need to be addressed by the project, summarizes the proposed activities, and identifies the intended outcomes.

4. Program Narrative. Applicants should organize the Program Narrative according to the Selection Criteria specified in Section V. The narrative should address all the criteria and all of the factors under each criterion and address the four phases of

planning activities: Prevention/Mitigation; Preparedness; Response; Recovery. **The narrative should also address the application requirements listed in Section IV, especially certifying that 1) agreements from required community partners are in place, 2) the plan is coordinated with the State Homeland Security Plan, 3) the district will support the implementation of the NIMS, 4) the plan has addressed the needs of students with disabilities, and 5) the district will develop a written infectious disease plan to include pandemic flu.** The plan should also address the private school participation requirements described on page 23.

The pages of the narrative section must be numbered and should be limited to 25 typed double spaced pages, printed only on one side, with a 1-inch margin on all sides. Font size should be no smaller than 11-point type. It is in the best interest of applicants to ensure that the narrative is easy to read, logically developed in accordance with selection criteria, and fully addresses each rating factor.

5. Budget. Use the Budget Information Form (ED Form 524) to prepare a complete budget for the project. Provide amounts for all major budget categories. The budget should be shown in one column, as it is a single budget period.

6. Budget Justification. Applicants should provide a detailed explanation for all funds requested on the Budget Form (ED Form 524). In explaining the funds requested, you must indicate whether you are a small, medium, or large district (according to breakdown given on page 14 under “Estimated Range of Awards”). Costs should be broken down according to the categories on the budget summary form. Explain the basis used to estimate all costs for each budget category. Provide a detailed explanation for any costs that appear unusual and describe how those costs relate to the proposed activities. The narrative should provide enough detail for reviewers to easily understand how costs were determined and how they relate to the goals and objectives of the project. Applicants should also include information about the project director's time commitment to the project. This information is needed in order to process a grant award.

7. Required Forms. This application package includes the following: Assurances-Non-Construction Programs Certification and Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements. By signing the Standard Form 424B, the applicant agrees to abide by requirements regarding drug-free workplace, debarment, and environmental tobacco smoke.

The following completed forms must be included with your application package:

- (1) Budget Information Form (**ED Form 524**)
- (2) Assurances - Non-Construction Programs (**Standard Form 424B**)
- (3) Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (**ED Form 80-0013**)
- (4) Disclosure of Lobbying Activities (**Standard Form LLL**)

(5) Copy of Letter to your SSPOC (if required by your State—see page 48).

Forms may be photocopied. Forms are also available electronically from the following Web site: www.ed.gov/fund/grant/apply/appforms/appforms.html

8. Partner Agreements. Applicants must include signatures from the Authorized Representative of the LEA and *at least two of the five required partners* (law enforcement agency, public safety, public health, mental health, and local government) along with details of the roles and responsibilities of each partner in the improvement of the plan and a reflection of each partner's commitment to sustainability and continuous improvement of the plan. We have provided the sample Partner Agreement templates on page 60 that you may use to demonstrate coordination with the required community partners.

9. Program Specific Assurance

Applicants must submit a completed Program Specific Assurance indicating that they have coordinated with their State or local Homeland Security plan, agree to support the implementation of NIMS, and the their crisis plans will address the needs of students with disabilities. Applicants may use the sample assurance provided on page 57.

10. Assurance of Competitive Preference Priority Qualification

Applicants applying for the competitive preference must submit a completed Assurance of Competitive Preference Priority Qualification. Applicants may use the sample Assurance of Competitive Preference Priority Qualifications provided on pages 58 and 59.

11. Appendices

Appendices should be limited only to what reviewers need to understand or clarify the proposal, or to provide supporting documentation such as personnel qualifications. Be sure to include copies of appendices with each copy of the application. Do not include timelines or other management charts as appendices, as they should be included in the narrative.

Please note: The Appendices do not count toward the total suggested page limitations that apply to the program narrative. Please do not include videotapes, CD-ROMs, photographs or floppy disks. We will not be able to review them nor return them.

The agreement detailing roles and responsibilities and required signatures of cooperating entities—local education agency, local government, community-based law enforcement, public safety, public health and mental health—should be included as an appendix to the application. However, applicants' intention to collaborate with these partners should also be discussed wherever relevant for addressing selection criteria in the project narrative.

12. General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants' discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others, from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Please note: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers to crisis planning efforts unique to their LEA and explain the specific steps they will take in their project to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

Examples

The following examples help illustrate how an applicant may comply with section 427:

- ❑ An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- ❑ An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.

- ❑ An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it tends to conduct "outreach" efforts to girls, to encourage their enrollment.
- ❑ An applicant that proposes conducting parent seminars on crisis procedures in the district, that is in a district serving, among others, parents for whom English is a second language, might describe in its application its intention to offer seminars in native languages, as well.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Paperwork Burden Statement for GEPA 427

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 information collection is OMB No. 1890-0007. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E320, Washington, DC 20202-4850.

IX. Application Transmittal Instructions

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

If you want to apply for a grant and be considered for funding, you must meet the following deadline requirements:

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Eastern time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Eastern time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. (Eastern time) on Wednesdays for maintenance. Any modifications to these hours are posted on the e-Grants Web site. Your application may not be submitted by email or facsimile. If you decide to submit your application electronically, you must use the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

If possible, please scan and upload signed forms, partner agreements, and assurances to the e-Grants Web site. If this is not possible, please fax all forms to the Office of Safe and Drug-Free Schools, (202) 205-5722.

Applications Sent by the U.S. Postal Service

You must mail the original and two copies of the application on or before the deadline date to:

**U.S. Department of Education
Application Control Center
Attention: CFDA#84.184E
400 Maryland Avenue, SW
Washington, DC 20202 - 4260**

To help expedite our review of your application, we would appreciate your voluntarily including two additional copies of your application.

You must show one of the following as proof of mailing:

- ☐ A legibly dated U. S. Postal Service Postmark.

- ❑ A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- ❑ A dated shipping label, invoice, or receipt from a commercial carrier.
- ❑ Any other proof of mailing acceptable to the Secretary.

If you an application is sent through the U.S. Postal Service, the Secretary will not accept either of the following as proof of mailing:

- ❑ A private metered postmark.
- ❑ A mail receipt that is not dated by the U.S. Postal Services.

Also, please note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, please check with your local post office.

Applications Delivered by Commercial Carrier:

Due to disruptions to normal mail delivery, you are encouraged to consider using an alternative delivery method (for example, a commercial carrier, such as Federal Express or United Parcel Service; or U. S. Postal Service Express Mail) to submit your application. If you use an alternative delivery method, please obtain the appropriate proof of mailing under “Applications Sent by Mail,” then follow the mailing instructions under the appropriate delivery method. Make sure you submit an original and two copies of your application.

Applications that are delivered by commercial carrier should be mailed to:

**U.S. Department of Education
Application Control Center – Stop 4260
Attention: CFDA#84.184E
7100 Old Landover Road
Landover, MD 20785-1506**

Applications Delivered by Hand/Courier Service:

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Eastern time) on or before the deadline date to:

**U.S. Department of Education
Application Control Center—Stop 4260
Attention: CFDA#84.184E
550 12th Street, SW
PCP - Room 7041
Washington, DC 20202 – 4260**

To help expedite our review of your application, we would appreciate your voluntarily including two additional copies of your application.

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Eastern time), except Saturdays, Sundays, and Federal holidays.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of ED Form 424 the competition number under which you are submitting your application (CFDA 84.184E).

If you send your application by mail or if your application is delivered by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you do not receive the notification of application receipt within two weeks from the closing date, please call the Application Control Center at (202) 245-6288.

If your application is received late, you will receive notification that your application will not be considered.

X. Intergovernmental Review of Federal Programs

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive Order. The name and address of each State Single Point of Contact is listed below. **Note: A copy of the applicant's letter to the State Single Point of Contact must be included with their application.**

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by August 20, 2006 at the following address: The Secretary, EO 12372—CFDA #84.184E, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Eastern Time) on August 20, 2006. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single point of Contact. If you are located within one of these States, you are exempt from this requirement.

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Admin.
1515 W. 7th St., Room 412
Little Rock, Arkansas 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206
tlcopeland@dfa.state.ar.us

CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, California 95812-3044
Telephone: (916) 445-0613
Fax: (916) 323-3018
state.clearinghouse@opr.ca.gov

<p><u>DELAWARE</u> Ellen P. McDowell Federal Aid Coordinator Office of Management and Budget 540 S. Dupont Highway, 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3327 Fax: (302) 739-5661 ellen.mcdowell@state.de.us</p>	<p><u>DISTRICT OF COLUMBIA</u> Marlene Jefferson Office of Partnerships and Grants Development Executive Office of the Mayor District of Columbia Government 441 4th Street, NW Washington, DC 20001 Telephone: (202) 727-6516 Fax: (202) 727-1652 marlene.jefferson@dc.gov</p>
<p><u>FLORIDA</u> Lauren P. Milligan Florida State Clearinghouse Florida Dept. of Environmental Protection 3900 Commonwealth Blvd., Mail Station 47 Tallahassee, Florida 32399-3000 Telephone: (850) 245-2161 Fax: (850) 245-2190 Lauren.Milligan@dep.state.fl.us</p>	<p><u>GEORGIA</u> Barbara Jackson Georgia State Clearinghouse 270 Washington Street, SW, 8th Floor Atlanta, Georgia 30334 Telephone: (404) 656-3855 Fax: (404) 656-7916 gach@mail.opb.state.ga.us</p>
<p><u>ILLINOIS</u> Roukaya McCaffrey Department of Commerce and Economic Opportunities 620 East Adams, 6th Floor Springfield, Illinois 62701 Telephone: (217) 524-0188 Fax (217) 558-0473 roukaya_mccaffrey@illinoisbiz.biz</p>	<p><u>IOWA</u> Kathy Mable Iowa Department of Economic Development State Capitol Building, Room G12 1007 East Grand Avenue Des Moines, Iowa 50319 Telephone: (515) 281-8834 Fax: (515) 242-5897 kathy.mable@iowa.gov</p>
<p><u>KENTUCKY</u> Ron Cook Department for Local Government 1024 Capital Center Drive, Suite 340 Frankfort, Kentucky 40601 Telephone: (502) 573-2382 Fax: (502) 573-2512 ron.cook@ky.gov</p>	<p><u>MAINE</u> Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 (direct) (207) 287-1461 Fax: (207) 287-6489 joyce.benson@state.me.us</p>
<p><u>MARYLAND</u> Linda C. Janey, J.D. Director, Maryland State Clearinghouse for Intergovernmental Review 301 West Preston Street, Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 Fax: (410) 767-4480 ljaney@mdp.state.md.us</p>	<p><u>MICHIGAN</u> Richard Pfaff Southeast Michigan Council of Governments 535 Griswold, Suite 300 Detroit, Michigan 48226 Telephone: (313) 961-4266 Fax: (313) 961-4869 pfaff@semcog.org</p>

<p><u>MISSISSIPPI</u> Janet Riddell Clearinghouse Officer Department of Finance and Administration 1301 Woolfolk Building, Suite E 501 North West Street Jackson, Mississippi 39201 Telephone: (601) 359-6762 Fax: (601) 359-6758 jriddell@dfa.state.ms.us</p>	<p><u>MISSOURI</u> Angela Boessen Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Truman Building, Room 840 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 Fax: (573) 522-4395 igr@mail.oa.state.mo.us</p>
<p><u>NEVADA</u> Kimberley Perondi Department of Administration State Clearinghouse 209 E. Musser Street, Room 200 Carson City, Nevada 89701 Telephone: (775) 684-0209 Fax: (775) 684-0260 kperondi@budget.state.nv.us</p>	<p><u>NEW HAMPSHIRE</u> MaryAnn Manoogian Director, New Hampshire Office of State Planning Attn: Intergovernmental Review Process 57 Regional Drive Concord, New Hampshire 03301 Telephone: (603) 271-2155 Fax: (603) 271-2615 irp@nh.gov</p>
<p><u>NEW YORK</u> Linda Shkreli Office of Public Security Homeland Security Grants Coordination 633 3rd Avenue New York, NY 10017 Telephone: (212) 867-1289 Fax: (212) 867-1725</p>	<p><u>NORTH DAKOTA</u> Jim Boyd North Dakota Department of Commerce 1600 East Century Avenue, Suite 2 P.O. Box 2057 Bismarck, North Dakota 58505-2057 Telephone: (701) 328-2676 Fax: (701) 328-2308 jboyd@state.nd.us</p>
<p><u>RHODE ISLAND</u> Joyce Karger Department of Administration One Capitol Hill Providence, Rhode Island 02908-5870 Telephone: (401) 222-6181 Fax: (401) 222-2083 jkarger@doa.state.ri.us</p>	<p><u>SOUTH CAROLINA</u> Jean Ricard Office of State Budget 1201 Main Street, Suite 870 Columbia, South Carolina 29201 Telephone: (803) 734-1314 Fax: (803) 734-0645 jricard@budget.sc.gov</p>
<p><u>TEXAS</u> Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 Fax: (512) 936-2681 dfrancis@governor.state.tx.us</p>	<p><u>UTAH</u> Sophia DiCaro Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol, Suite E210 P.O. Box 144210 Salt Lake City, Utah 84114 Telephone: (801) 538-1027 Fax: (801) 538-1547 sdicaro@utah.gov</p>
<p><u>AMERICAN SAMOA</u> Pat M. Galea'i Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com</p>	<p><u>GUAM</u> Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-472-2825 jer@ns.gov.gu</p>

<p><u>NORTH MARIANA ISLANDS</u> Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com</p>	<p><u>PUERTO RICO</u> Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783</p>
<p><u>VIRGIN ISLANDS</u> Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 irmills@usvi.org</p>	

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address above. The best source for this information is the Catalog of Federal Domestic Assistance.

XI. State Homeland Security Contacts

Alabama

James M. Walker, Jr., Homeland Security
Director
Alabama Department of Homeland Security
P.O. Box 304115
Montgomery, AL 36130-4115
Telephone: (334) 956-7250
Main Fax: (334) 223-1120
<http://www.dhs.alabama.gov>

Alaska

BG Craig Campbell
PO Box 5800
Ft. Richardson, AK 99505-0800
Telephone: 907-428-6003
www.ak-repared.com/homelandsecurity

Arizona

Frank Navarette, Homeland Security
Director
1700 West Washington Street, 3rd Floor
Phoenix, AZ 85007
Telephone: 602-542-7030

Arkansas

John Brackin
Director
PO Box 758
Conway, AR 72033
Telephone: 501-730-9781
www.adem.state.ar.us

California

Matt Bettenhausen
Director of Office of Homeland Security
State Capitol, 1st Floor
Sacramento, CA 95814
Telephone: 916-324-8908

Colorado

Joe Morales
Executive Director
Colorado Office of Public Safety,
Preparedness and Security
700 Kipling Street
Denver, CO 80215
Telephone: 303-239-4398

Connecticut

James M. Thomas
Commissioner
Department of Emergency Management
and Homeland Security
25 Sigourney Street – 6th FL
Hartford, CT 06106-5042
Telephone: 860-256-0800 OR 800-397-
8876
<http://www.ct.gov/demhs/>

Delaware

David Mitchell
Acting Homeland Security Advisor
Department of Safety and Homeland
Security
303 Transportation Circle
P.O. Box 1321
Dover, DE 19903
Telephone: 302-744-2680

District of Columbia

Robert Bobb
Deputy Mayor for Public Safety
1350 Pennsylvania Ave, NW #327
Washington DC 20004
Telephone: 202-727-4036
[http://www.dcema.dc.gov/dcema/site/default
.asp](http://www.dcema.dc.gov/dcema/site/default.asp)

Florida

Kenneth "Ken" S. Tucker
Deputy Commissioner, Florida Dept. of Law
Enforcement
PO Box 1489
Tallahassee, FL 32302-1489
Telephone: 850-410-8300
www.fdle.state.fl.us/osi/DomesticSecurity/

Georgia

Mike Sherberger
Acting Director of Homeland Security
PO Box 1456
Atlanta, GA 30371
Telephone: 404-624-7030
www.gaohomelandsecurity.com/

Hawaii

BG Robert Lee
Adjutant General
3949 Diamond Head Rd.
Honolulu, HI 96816-4495
Telephone: 808-733-4246
www.scd.state.hi.us

Idaho

MG Lawrence "Larry" Lafrenz
Adjutant General
4040 West Guard Street
Boise, ID 83705-5004
Telephone: 208-422-5242
www.state.id.us/government/executive.html

Illinois

COL Jill Morgenthau
Deputy Chief of Staff of Public Safety
Homeland Security Advisor
207 State House
Springfield, IL 62706
Telephone: 217-524-1486

Indiana

Eric Dietz
Executive Director
Indiana Department of Homeland Security
Indianapolis, IN 46204
Telephone: 317-232-3986
<http://www.in.gov/sema/>

Iowa

MG Ron Dardis
Homeland Security Advisor
Adjutant General of Iowa
Hoover State Office Bldg
1305 E. Walnut
Des Moines, IA 50319
Telephone: 515-252-4211
www.iowahomelandsecurity.org

Kansas

MG Tod Bunting
Homeland Security Advisor
2800 SW Topeka
Topeka, KS, 66611-1287
Telephone: 785-274-1011

Kentucky

Alecia Webb-Edgington
Director of Homeland Security
200 Metro Street
Frankfort, KY 40622
Telephone: 502-564-2081
<http://homelandsecurity.ky.gov/>

Louisiana

MG Bennett C. Landreneau
Adjutant General and Director
Louisiana Office of Emergency
Preparedness
7667 Independence Blvd.
Baton Rouge, LA 70806
Telephone: 504-278-2812
www.lope.state.la.us

Maine

BG John Libby
Adjutant General
Homeland Security
1 State House Station
Augusta, ME 04333-0001
Normal Working Hours Telephone: 207-626-4205

Maryland

Dennis Schrader
Homeland Security Director
The Jeffrey Building
16 Francis Street
Annapolis, MD. 21401
www.gov.state.md.us/homelandsecurity.html

Massachusetts

Edward A. Flynn
Homeland Security Policy Advisor
Executive Office of Public Safety
1 Ashburton Place, Rm. 2133
Boston, Ma 02108
Telephone: 617-727-7775

Michigan

COL Tadarial Sturdivant
Director of State Police
Capt. Kriste Etue
713 South Harrison Rd
E. Lansing, MI 48823
Telephone: 517-333-5042
www.msp.state.mi.us

Minnesota

Michael Campion
Acting Commissioner of Public Safety
Director, Homeland Security
DPS, North Central Life Tower
445 Minnesota St., St. 1000
St. Paul, MN 55101
Telephone: 651-215-1527
dps.state.mn.us/homelandsecurity/index.htm

Mississippi

Edwin L. Worthington
Director, Office of Homeland Security
PO Box 4501
Jackson, MS 39296-4501
Telephone: 601-346-1499
www.homelandsecurity.ms.gov

Missouri

Mark James
Director, Missouri Office of Homeland Security
PO Box 749
Jefferson City, MO 65102
Telephone: 573-522-3007
www.homelandsecurity.mo.gov

Montana

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Richmond, VA 23218

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MG Timothy J. Lowenberg
Adjutant General and Director
State Military Department
Washington Military Dept., Bldg 1
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Telephone: 253-512-8201

West Virginia

James Spears
Secretary, Dept. of Military Affairs and Public Safety
State Capitol Complex, Bldg 6, Rm B-122

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Adjutant General
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American Samoa

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Special Assistant to the Governor
Office of Territory Emergency Mgmt
American Samoa Government
Pago, Pago, AS 96799
Telephone: 011-684-633-4116

XII. Program-Specific Assurance

If you are submitting an electronic application, you must print out the form below, complete, and fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within (3) working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

As the duly authorized representative, I certify that the LEA:

1. Has contacted the State and/or local emergency management agency and will coordinate emergency planning efforts with the State and/or local Homeland Security Plan;
2. Will work with community partners to complete all Fiscal Year 2006 National Incident Management System (NIMS) requirements by the end of the grant period;
3. Will work to develop emergency response plans that address the needs of disabled students; and
4. Will develop a written infectious disease plan that includes pandemic influenza.

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

XIII. Competitive Preference Qualification Assurance: Priority 1

If you are submitting an electronic application, you must print out the form below, complete, and fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within (3) working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

Competitive Preference Priority 1: Under this priority, we give a 10 point competitive preference to applications from LEAs that (1) have not yet received a grant under this program and (2) are located in whole or in part within Urban Areas Security Initiative (UASI) jurisdictions, as determined by the U.S. Department of Homeland Security. An applicant must meet both criteria to be eligible for this preference. Under a consortium application, all members of the LEA consortium need to meet both criteria to be eligible for the preference. Applications submitted by educational service agencies (ESAs) are eligible for the competitive preference if each LEA to be served by the grant meets both criteria.

As the duly authorized representative, I certify that all LEAs to be served under the grant meet the following conditions:

All LEAs are located within the Urban Areas Security Initiative Jurisdiction of:

City, State

None of the LEAs to be served by the grant have previously received funding under the ERCM program either as the lead LEA or as a part of a consortium of LEAs.

Please list the name and location (city and state) of all LEAs to be served by the grant:

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

XIV. Competitive Preference Qualification Assurance: Priority 2

If you are submitting an electronic application, you must print out the form below, complete, and fax it (along with the ED 424 and other forms) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within (3) working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

Priority 2: Under this priority, we give a 5-point competitive preference to applications from LEAs that have not previously received a grant under this program. Applicants (other than educational service agencies, or ESAs) that have receive funding under this program directly, or as the lead agency or as a partner in a consortium application under this program are not eligible for this priority. For applications submitted by ESAs, each LEA to be served by the grant must not have received funding under this program directly, or as the lead agency or as a partner in a consortium application, in order for the ESA to be eligible for this priority.

As the duly authorized representative, I certify that all LEAs to be served under the grant meet the following condition:

None of the LEAs to be served by the grant have previously received funding under the ERCM program either as the lead LEA or as a part of a consortium of LEAs.

Please list the name and location (city and state) of all LEAs to be served by the grant:

Signature of Authorized Certifying Official

Title

Applicant Organization

Date Submitted

XV. Partner Agreements

To be considered for an Emergency Response and Crisis Management grant award, **all local educational agencies (eligible applicants) receiving services through this grant** must include signatures from *at least two of the five partners listed*, along with details of the roles and responsibilities of each partner in the improvement of the plan and a reflection of each partner's commitment to sustainability and continuous improvement of the plan. We have provided the following pages to help you obtain the necessary signatures.

You may choose another format to obtain necessary signatures and descriptions of roles. However, to be considered, you **MUST** have at least two partner signatures—**AND** in every space where you don't have a partner signature, you must provide an explanation as to why that signature is missing.

Providing only signatures does **NOT** meet the requirements for this grant competition. In addition to providing signatures, each partner must detail its role and responsibility in the strengthening and improving of the crisis management plan and its commitment to sustainability and continuous improvement of the plan.

Applications that do not provide both 1) at least two of the five signatures and 2) also include a description of each partner's roles and responsibilities will **NOT BE READ**.

If you are submitting an electronic application, you must print out the forms below, complete, and fax (along with the ED424) to the Office of Safe and Drug-Free Schools at (202) 205-5722 within (3) working days of submitting your electronic application. You must indicate your PR/Award number in the upper right corner of the form.

Signature of Authorized Representative for the LEA:

Name

Title

a. Below is a signature representing our **community-based law enforcement agency** (i.e. local police, sheriff's office whose jurisdiction covers a majority of the schools in the district) and reflecting that partner's commitment to sustainability and continuous improvement of the plan:

Signature: _____ Title: _____

Description of roles and responsibilities in the strengthening and improving of the plan:

We are unable to include this signature for the following reason(s):

b. Below is a signature representing our **local community-based public safety agency** (i.e. Emergency Management Services or Fire Department) and reflecting that partner's commitment to sustainability and continuous improvement of the plan:

Signature:_____ Title:_____

Description of roles and responsibilities in the strengthening and improving of the plan:

We are unable to include this signature for the following reason(s):

c. Below is a signature representing our **local community-based public health agency** and reflecting that partner's commitment to sustainability and continuous improvement of the plan:

Signature:_____ Title:_____

Description of roles and responsibilities in the strengthening and improving of the plan:

We are unable to include this signature for the following reason(s):

d. Below is a signature representing our **local community-based mental health agency** and reflecting that partner's commitment to sustainability and continuous improvement of the plan:

Signature: _____ Title: _____

Description of Roles and Responsibilities in the strengthening and improving of the plan:

We are unable to include this signature for the following reason(s):

e. Below is a signature of the **head of our local government** (i.e. the county executive, the mayor, the county manager, head of the town council) and reflecting that partner's commitment to sustainability and continuous improvement of the plan:

Signature: _____ Title: _____

Description of Roles and Responsibilities in the strengthening and improving of the plan:

We are unable to include this signature for the following reason(s):

XVI. Application Checklist

Use This Checklist in Preparing the Application Package:

- ❑ Application for Federal Education Assistance (ED Form 424) has been completed according to the instructions and includes the nine-digit D-U-N-S Number and Tax Identification Number.
- ❑ Application for Federal Education Assistance (ED Form 424) has been signed in and dated by an authorized official and the signed original has been included with your submission.
- ❑ One signed original and two copies of the application (including ED Form 424 and appendices), plus two voluntarily submitted additional copies have been included. All copies are unbound. Each page is consecutively numbered.

Each application should include the following sections:

- ❑ Application for Federal Education Assistance (ED Form 424), signed and dated by an authorized official (including original signature in at least one copy)
- ❑ Table of Contents
- ❑ Project Abstract
- ❑ Project Narrative (up to 25 pages double-spaced)
- ❑ Budget Information Form (ED Form 524) and budget narrative
- ❑ Assurances—Non-Construction Programs (ED Form 424B), signed and dated by an authorized official (including original signature in at least one copy)
- ❑ Certifications Regarding Lobbying (ED Form 80-0013), signed and dated by an authorized official (including original signature in at least one copy)
- ❑ Disclosure of Lobbying Activities (Standard Form – LLL), signed and dated by an authorized official (including original signature in at least one copy)
- ❑ Certification Regarding Debarment (ED Form 80-0014), signed and dated by an authorized official (including original signature in at least one copy)
- ❑ A narrative response to the GEPA 427 provision, describing the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.
- ❑ Copy of Applicant's Letter to State Single Point of Contact on letterhead (if your State participates)

- ❑ Partner Agreements with signatures of authorized representatives for each participating LEA and narrative detailing the roles and responsibilities of each partner
- ❑ Program Specific Assurance signed by an authorized representative
- ❑ Competitive Preference Priority Qualification Assurance (if applicable)

XVII. Other Information and Forms



Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number _____

3. Applicant's T-I-N _____ - _____

4. Catalog of Federal Domestic Assistance #: 84. _____

Title: _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

Application Information

10. Type of Submission:

-PreApplication *-Application*
____ Construction ____ Construction
____ Non-Construction ____ Non-Construction

11. Is application subject to review by Executive Order 12372 process?

____ Yes (*Date made available to the Executive Order 12372 process for review:* ____/____/____)
____ No (*If "No," check appropriate box below.*)
____ Program is not covered by E.O. 12372.
____ Program has not been selected by State for review.

12. Proposed Project Dates: ____/____/____ **Start Date:** ____/____/____ **End Date:** ____/____/____

Estimated Funding

15a. Federal \$ _____ .00
b. Applicant \$ _____ .00
c. State \$ _____ .00
d. Local \$ _____ .00
e. Other \$ _____ .00
f. Program Income \$ _____ .00
g. TOTAL \$ _____ .00

Authorized Representative Information

16. To the best of my knowledge and belief, all data in this preapplication/application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (*Please type or print name clearly.*) _____

b. Title: _____

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative _____

Date: ____/____/____

Organizational Unit

6. Novice Applicant ____ Yes ____ No

7. Is the applicant delinquent on any Federal debt? ____ Yes ____ No
(*If "Yes," attach an explanation.*)

8. Type of Applicant (*Enter appropriate letter in the box.*) ____/____/____

A - State F - Independent School District
B - Local G - Public College or University
C - Special District H - Private, Non-profit College or University
D - Indian Tribe I - Non-profit Organization
E - Individual J - Private, Profit-Making Organization

K - Other (*Specify*): _____

9. State Application Identifier _____

13. Are any research activities involving human subjects planned at any time during the proposed project period?
____ Yes (Go to 13a.) ____ No (Go to item 14.)

13a. Are all the research activities proposed designated to be exempt from the regulations?
____ Yes (Provide Exemption(s) #): _____

____ No (Provide Assurance #): _____

14. Descriptive Title of Applicant's Project: _____

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
- 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
- 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- 5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank.**

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- 8. Type of Applicant.** Enter the appropriate letter in the box provided.
- 9. State Application Identifier.** State use only (if applicable).
- 10. Type of Submission.** See "Definitions for Form ED 424" attached.
- 11. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
- 12. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
- 13. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 13 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for

protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

13a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

13a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

13a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

14. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

15. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

16. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 16e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number.

The valid OMB control number for this information collection is 1890-0017. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or**
II.

suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4700. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202-4260.

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to http://www.archives.gov/federal_register/codification/executive_order/12372.html

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation,

designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.* [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s)

require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 13 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 13 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 13 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed.

Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

III. Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4250, telephone: (202) 245-6120, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/about/offices/list/ocfo/humansub.html>



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004
Expiration Date: 10-31-2007

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY

IV. U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs*						
11. Training Stipends						
12. Total Costs (lines 9-11)						

***Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☐ Yes ☐ No
- (2) If yes, please provide the following information:
Period Covered by the Indirect Cost Rate Agreement: From: / / To: / / (mm/dd/yyyy)
Approving Federal agency: ED Other (please specify):
- (3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:
☐ Is included in your approved Indirect Cost Rate Agreement? or ☐ Complies with 34 CFR 76.564(c)(2)?

Name of Institution/Organization		Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.				
SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						
SECTION C – BUDGET NARRATIVE (see instructions)						

Instructions for ED 524

General Instructions

This form is used to apply to individual U.S. Department of Education (ED) discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached. Please consult with your Business Office prior to submitting this form.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Indirect Cost Information:

If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. (1): Indicate whether or not your organization has an Indirect Cost Rate Agreement that was approved by the Federal government. (2): If you checked "yes" in (1), indicate in (2) the beginning and ending dates covered by the Indirect Cost Rate Agreement. In addition, indicate whether ED or another Federal agency (Other) issued the approved agreement. If you check "Other," specify the name of the Federal agency that issued the approved agreement. (3): If you are applying for a grant under a Restricted Rate Program (34 CFR 75.563 or 76.563), indicate whether you are using a restricted indirect cost rate that is included on your approved Indirect Cost Rate Agreement or whether you are using a restricted indirect cost rate that complies with 34 CFR 76.564(c)(2). Note: State or Local government agencies may not use the provision for a restricted indirect cost rate

specified in 34 CFR 76.564(c)(2). Check only one response. Leave blank, if this item is not applicable.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year, for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Budget Narrative [Attach separate sheet(s)] Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, and justification by project year, for each budget category listed in Sections A and B. For grant projects that will be divided into two or more separately budgeted major activities or sub-projects, show for each budget category of a project year the breakdown of the specific expenses attributable to each sub-project or activity.
2. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
3. If you are requesting reimbursement for indirect costs on line 10, this information is to be completed by your Business Office. Specify the estimated amount of the base to which the indirect cost rate is applied and the total indirect expense. Depending on the grant program to which you are applying and/or your approved Indirect Cost Rate Agreement, some direct cost budget categories in your grant application budget may not be included in the base and multiplied by the indirect cost rate. For

example, you must multiply the indirect cost rates of "Training grants" (34 CFR 75.562) and grants under programs with "Supplement not Supplant" requirements ("Restricted Rate" programs) by a "modified total direct cost" (MTDC) base (34 CFR 75.563 or 76.563). Please indicate which costs are included and which costs are excluded from the base to which the indirect cost rate is applied.

When calculating indirect costs (line 10) for "Training grants" or grants under "Restricted Rate" programs, you must refer to the information and examples on ED's website at:
<http://www.ed.gov/fund/grant/apply/appforms/appforms.html>
1. You may also contact (202) 377-3838 for additional information regarding calculating indirect cost rates or general indirect cost rate information.

4. Provide other explanations or comments you deem necessary.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0004. The time required to complete this information collection is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to (insert program office), U.S. Department of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

V. OMB Approval No. 0348-0040

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g). 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C., 276a to 276a-7), the Copeland Act (40 U.S.C., 276c and 18 U.S.C., 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C., 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C., 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C., 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C., 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C., 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C., 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C., 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C., 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE
APPLICANT ORGANIZATION		DATE SUBMITTED

CERTIFICATION REGARDING LOBBYING

Applicants must review the requirements for certification regarding lobbying included in the regulations cited below before completing this form. Applicants must sign this form to comply with the certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying." This certification is a material representation of fact upon which the Department of Education relies when it makes a grant or enters into a cooperative agreement.

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a Federal contract, grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants and contracts under grants and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certification.

NAME OF APPLICANT OR PROJECT NAME	PR/AWARD NUMBER AND /
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

1. Type of Federal Action: a. contract _____ b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	2. Status of Federal Action: a. bid/offer/application _____ b. initial award c. post-award	3. Report Type: a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known: Congressional District, if known:		5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		
Federal Use Only		Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____ Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawardee recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue SW, Washington, DC 20202-4250.

APPLICATION TRANSMITTAL DEADLINE:
June 22, 2006

For further information contact:

Tara Hill
Office of Safe and Drug-Free Schools
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-6450

tara.hill@ed.gov
(202) 708-4850

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) @ 1-800-877-8339 Monday through Friday between 8:00 a.m. and 8:00 p.m. (EDT).

Information about other funding opportunities, including copies of application notices for discretionary grants competitions can be viewed on the World Wide Web at:

<http://www.ed.gov/fund/grant/find/edlite-forecast.html>

U.S. DEPARTMENT OF EDUCATION
WASHINGTON, DC 20202-6450

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